### Edgar Filing: Jones Keri L - Form 4/A

| Jones Keri L<br>Form 4/A   |  |   |  |   |   |                                       |                                |   |   |                          |  |
|--|--|---|--|---|---|---------------------------------------|--------------------------------|---|---|--------------------------|--|
| November 14.<br>FORM<br>Check this<br>if no longe<br>subject to<br>Section 16<br>Form 4 or<br>Form 5<br>obligations<br>may contin<br>See Instruct<br>1(b). | <b>4</b> UNITEI<br>box<br>star<br>star<br>shue.<br>ction | CMENT OF<br>ursuant to S<br>7(a) of the 1 | Was<br>F CHAN<br>Section 1<br>Public U | shington,<br>GES IN<br>SECUR<br>6(a) of the         | D.C. 20<br>BENEF<br>ITIES<br>e Securi<br>ling Cor | <b>)549</b><br>ICIA<br>ties E<br>npan | AL OWN<br>Exchange<br>y Act of | OMMISSION<br>NERSHIP OF<br>e Act of 1934,<br>1935 or Section<br>0   | OMB<br>Number:<br>Expires:<br>Estimated a<br>burden hour<br>response    |                          |  |
| 1. Name and Address of Reporting Person *       2. Issi         Jones Keri L       Symbo         CHRI  |  |   | Symbol                                 | STOPHER & BANKS CORP                                |   |                                       |                                | 5. Relationship of Reporting Person(s) to<br>Issuer<br>(Check all applicable)   |   |                          |  |
| (Last)<br>2400 XENIU   | (First)<br>M LANE NO                                     | (Middle)<br>RTH                           | 3. Date of<br>(Month/E<br>11/13/2      | -   | ansaction   |                                       |                                | _X_ Director<br>_X_ Officer (give<br>below)<br>Pres   |   | Owner<br>r (specify      |  |
| Filed(Mo   |  |   |  | mendment, Date Original<br>Ionth/Day/Year)<br>/2018 |   |                                       |                                | <ul> <li>6. Individual or Joint/Group Filing(Check Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> <li> Form filed by More than One Reporting Person</li> </ul> |   |                          |  |
| (City)   | (State)  | (Zip)                                     | Tabl                                   | e I - Non-D   | erivative   | Secu                                  | rities Acqu                    | uired, Disposed of,   | or Beneficiall  | y Owned                  |  |
|  | 2. Transaction Da<br>(Month/Day/Year                     |   | ned<br>1 Date, if                      | 3.<br>Transactio<br>Code<br>(Instr. 8)<br>Code V    | 4. Securi<br>r(A) or Di<br>(Instr. 3,             | ties Adispose<br>4 and<br>(A)<br>or   | cquired<br>d of (D)            | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4)  | 6.<br>Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect |  |
| Common<br>Stock  | 11/12/2018   |   |  | F <u>(1)</u>  | 2,126   | D                                     | \$<br>0.5058                   | 282,992 <u>(2)</u>  | D   |                          |  |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
 (e.g., puts, calls, warrants, options, convertible securities)

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| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactio<br>Code<br>(Instr. 8) | 5.<br>orNumber<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                                  |
|---|---|---|---|--|---|--|--------------------|---|----------------------------------|
|   |   |   |   | Code V                                 | (A) (D)   | Date Exercisable   | Expiration<br>Date | Title   | Amount or<br>Number of<br>Shares |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 1.03   |   |   |  |   | <u>(3)</u>   | 03/12/2028         | Common<br>Stock   | 500,000                          |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 1.03   |   |   |  |   | 03/12/2019 <u>(4)</u>  | 03/12/2028         | Common<br>Stock   | 548,544                          |

# **Reporting Owners**

| Reporting Owner Name / Address                               | Relationships |           |                 |       |  |  |  |
|--|---------------|-----------|-----------------|-------|--|--|--|
| Toporting of their family frameso                            | Director      | 10% Owner | Officer         | Other |  |  |  |
| Jones Keri L<br>2400 XENIUM LANE NORTH<br>PLYMOUTH, MN 55441 | Х             |           | President & CEO |       |  |  |  |
| Signatures   |               |           |                 |       |  |  |  |
| /s/ Luke Komarek,<br>Attorney-in-Fact                        | 1             | 1/13/2018 |                 |       |  |  |  |
| **Signature of Reporting Person                              |               | Date      |                 |       |  |  |  |

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Represents a transaction involving a disposition to the Company of equity securities upon the vesting of restricted stock whereby the reporting person used a portion of the shares that vested to satisfy the resulting tax withholding obligations.
- (2) This number includes restricted stock awards.
- (3) The reporting person was granted an option that will vest and becomes exercisable approximately 1/36th each month, if the reporting person remains employed as of such vesting date. The option is subject to accelerated vesting in the event of a change in control.
- (4) On March 12, 2018, the reporting person was granted an option to purchase 548,544 shares of the Company's Common Stock. The option vests in three annual installments of 182,848 shares on each of March 12, 2019, March 12, 2020 and March 12, 2021.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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